



Governor Janice K. Brewer

State of Arizona Department of Homeland Security



Director Gilbert M. Orrantia

State Preparedness Report (SPR) For Official Use Only (FOUO) Information

January 10, 2013

Purpose

These Policies and Procedures act as a guide for identifying and safeguarding information designated as For Official Use Only (FOUO) by the Arizona Department of Homeland Security (AZDOHS). These Policies and Procedures are intended to address most situations. However, unique circumstances sometimes arise. If there is any question relating to handling information, please contact the Public Affairs Office at the Arizona Department of Homeland Security: (602) 542-1713 or email HS@azdohs.gov.

Scope

These Policies and Procedures apply to all Arizona Department of Homeland Security personnel, stakeholders and all others who may be exposed to FOUO information pertaining to the State Preparedness Report (SPR).

Definitions

Access: The ability or opportunity to gain knowledge of information.

For Official Use Only (FOUO): It is a term used by AZDOHS and a number of federal agencies to identify and designate information or material which, although unclassified, is sensitive and may not be appropriate for public release because unauthorized disclosure of the information may adversely affect or impact a person's privacy or welfare, the conduct of Federal or AZDOHS programs or other operations. For Official Use Only information may be exempt from mandatory release to the public under the Freedom of Information Act (FOIA). The policy is implemented by Department of Defense Regulation 5400.7-R and 5200.1-R. Information impacting the National Security of the United States and that classified Confidential, Secret or Top Secret is not to be considered FOUO. Conversely, FOUO information is not to be considered classified information.

Need-to-Know: The determination made by an authorized holder of information that a prospective recipient requires access to specific information in order to perform or assist in a lawful and authorized government function.



For Official Use Only (FOUO) Information

State Preparedness Report (SPR) Policies and Procedures

The SPR is FOUO Information

Within AZDOHS, the caveat “For Official Use Only” will be used to identify the State Preparedness Report as sensitive but unclassified information that may not be appropriate for public release because unauthorized disclosure of the information may adversely affect the conduct of Federal or AZDOHS programs or other operations.

The SPR is designated as FOUO because it contains:

- Information of the type that may be exempt from disclosure per 5 U.S.C. 552, Freedom of Information Act, and its amendments. Designation as FOUO does not imply that the information is already exempt from disclosure under FOIA.
- Information that could be sold for profit
- Information of the type that may be exempt from disclosure per 5 U.S.C. 552a, Privacy Act
- Systems security data revealing the security posture of any system, including but not limited to: threat assessments, security plans, contingency plans, and impact studies.
- Reviews or reports illustrating or disclosing facility infrastructure or security vulnerabilities not otherwise eligible for classification.
- Information that could constitute an indicator of U.S. government intentions, capabilities, operations or activities or otherwise threaten operational security.

Designation Authority

The Director of AZDOHS has authorized the designation of FOUO for the SPR.

Duration of Designation

The SPR retain its FOUO designation until determined otherwise by the Director and Assistant Directors(s) of AZDOHS in writing.



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Please ensure that ALL USERS of the SPR area aware of the following procedures:

Marking the SPR as FOUO

The SPR is designated as FOUO and should be sufficiently marked so that persons having access to it are aware of its sensitivity and protection requirements. The lack of proper FOUO markings on materials does not relieve the holder from safeguarding responsibilities.

FOUO information shall be marked as follows:

- Documents will be marked at a minimum FOR OFFICIAL USE ONLY at the bottom of each page. An additional warning (see below) may be added on the first, cover and or all pages.
- Material other than paper documents (for example, slides, computer media, films, CDs, etc.) shall bear the marking FOR OFFICIAL USE ONLY which alerts the holder or viewer that the material contains FOUO information.
- When a longer FOUO warning is necessary, the following language can be indicated so that all holders understand the status of the information:

***Warning:** This material is FOR OFFICIAL USE ONLY (FOUO). It contains information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). It is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with AZDOHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need-to-know without prior approval of an authorized AZDOHS official.*

Dissemination and Access of the SPR

The SPR is not to be disseminated outside of your Department or organization without the express written consent from an authorized employee of AZDOHS.

If there is a need to forward the SPR in the conduct of official business, please contact AZDOHS in writing for permission.

- FOUO information will not be disseminated in any manner to unauthorized personnel.
- A security clearance is not required for access to FOUO information.



For Official Use Only (FOUO) Information

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Safeguarding FOUO Information

The SPR, as FOUO information, should be handled in a manner that provides reasonable assurance that unauthorized persons do not gain access. All holders of the SPR must use sound judgment coupled with an evaluation of the risks, vulnerabilities and the potential damage to personnel, property or general security as the basis for determining the need for safeguards in excess of the minimum requirements and protection information outlined in this document.

- When removed from its secure storage location, the SPR must be safeguarded with a FOUO cover sheet with "FOR OFFICIAL USE ONLY" printed on it to prevent the casual observer from viewing any FOUO information.
- During working hours, reasonable steps should be taken to minimize risk of access by unauthorized personnel. After working hours, the SPR may be stored as a minimum in unlocked containers, desks or cabinets if government or government-contract building security is provided. If government or government-contract building security is not provided, it must be stored at a minimum in a locked desk, file cabinet, bookcase, locked room, or similar place.
- Laptop computers and other media containing FOUO information will be stored and protected to prevent loss, theft, unauthorized access and unauthorized disclosure.

Destroying the SPR

The SPR material will be destroyed when no longer needed.

- Hard Copy FOUO materials will be destroyed by shredding or tearing into pieces sufficient to assure destruction beyond recognition and reconstruction. The destroyed document may be discarded in a regular trash container unless circumstances suggest a need for more careful protection.
- Electronic media containing FOUO shall be properly sanitized by overwriting the data and/or degaussing.
- Materials designated FOUO will not be disposed of in regular trash or recycling receptacles unless the materials have been destroyed as specified above.



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Incident Reporting

Anyone who loses, suspected loss, compromise, suspected compromise or unauthorized disclosure of FOUO will report the incident to an AZDOHS Strategic Planner.

Enforcement

Appropriate enforcement action may be imposed for misuse of the SPR FOUO information. Improper use or misuse of SPR FOUO information will be considered a serious breach of security and will be treated as such by the Director of the Arizona Department of Homeland Security.

Legal & Regulatory Authorities

DoD Regulation 5200.1-R - The Information Security Program

DoD Directive 5400.7 - The Freedom of Information Act (FOIA) Program

DoD Regulation 5400.7-R – The DoD Freedom of Information Act Program

DoD Regulation 5400.11-R – Department of Defense Privacy Program

Reference Material

United States Department of Homeland Security Management Directive (MD) # 11042.1